

U.S. Department of Education
SMALL BUSINESS INNOVATION RESEARCH
PROGRAM
Phase I

PROGRAM ANNOUNCEMENT

GRANT APPLICATION PACKAGE

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**U.S. DEPARTMENT OF EDUCATION
SMALL BUSINESS INNOVATION RESEARCH (SBIR)
PROGRAM ANNOUNCEMENT for FY 2002**

I. PROGRAM OVERVIEW

A. Introduction

The **U.S. Department of Education (ED)** invites small business firms to submit Phase I research applications under this program announcement entitled **Small Business Innovation Research (SBIR)**. Firms with strong research capabilities in educational and assistive technologies, science, or engineering in any of the priority areas listed within are encouraged to participate. Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the grantee.¹

The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

B. SBIR Program Description and Award Levels

The three phases of the SBIR program are:

Phase I. -- Phase I is to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR program.

The application should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept and that would be prerequisite to further ED support in Phase II. Applications are evaluated by panels of expert reviewers based on criteria published in this program announcement (*Section V*). Awards are for periods **up to 6 months** in amounts up to **\$75,000**. For FY 2002, ED anticipates making approximately 40 awards.

**PHASE I:
Feasibility**

Up to \$75,000

6 Months

**Fixed-Price
Grant**

**PHASE II:
Full R/R&D Effort**

Up to \$500,000

2 Years

Fixed-Price Grant

Phase II. -- Phase II is to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal research or R&D effort. It requires a more comprehensive application, outlining the effort in detail including the commercial potential. Phase II applicants must be Phase I awardees with approaches that appear sufficiently promising as a result of Phase I. Once again, applications are evaluated based on published criteria by panels of experts.

Awards are for periods **up to 2 years** in amounts up to **\$500,000** (beginning in FY 2003).

¹ A note of caution that such arrangements may be permitted as long as they do not affect the small business size, status or eligibility of the prime awardee as provided for in Section III (Definitions – "Small Business Concern").

Phase III. – In Phase III, the small business must use non-SBIR capital to pursue commercial applications of the research or research and development. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies.

**PHASE III:
Commercialization
No SBIR Funds**

Both Phase I and Phase II awards may include a reasonable profit/fee.

C. Authorization

P.L. 106-554, the “Small Business Reauthorization Act of 2000, H.R. 5667” (the “Act”) was enacted on December 21, 2000. The Act requires certain agencies, including the Department of Education, to establish SBIR programs by reserving a statutory percentage of their extramural research and development budgets to be awarded to small business concerns for research or R&D through a uniform, highly competitive, three-phase process. The Act further requires the Small Business Administration (SBA) to issue policy directives for the general conduct of the SBIR programs within the Federal Government. Section 9(j) of the Act; 15 U.S.C. 638(j).

The SBIR policy directives guide the information and requirements set forth in this application package.

Funding for those awards issued as a result of this solicitation come from:

- Title II of the Rehabilitation Act of 1973, as amended, Pub. L. 105-220 (29 U.S.C. 760-764); and,
- The Educational Research, Development, Dissemination, and Improvement Act of 1994, Pub. L. 103-227 (20 U.S.C. 6001 et seq.).

D. Applicant Eligibility

Each organization submitting an application **must** qualify as a **small business concern** as defined by the Small Business Administration **at the time of the award**. The complete definition is included in Section III (Definitions).

In addition, the **primary employment of the principal investigator must** be with the small business firm at the time of award and during the conduct of the proposed research. That is, more than one-half of the principal investigator’s working time must be spent with the small business firm during the period of performance. Also, for both Phase I and Phase II the research or R&D work **must** be performed in the United States. “United States” means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

Joint ventures are permitted, provided that the business entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631. For **Phase I**, the proposing firm must perform at least two-thirds of the research and/or analytic effort. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding agreement price.

SBIR Eligibility Checklist

- ☒ For-profit small business concern.
- ☒ At least 51% U.S.-owned and independently operated.
- ☒ Small business located in the U.S.
- ☒ Principal investigator's primary employment with small business during the project.
- ☒ 500 or fewer employees.

Department of Education staff will examine all SBIR grant applications with the above considerations in mind. If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA provides a determination.

E Application Limitations

An application should be limited to one priority listed in this program announcement. When an application is relevant to more than one priority, the applicant should decide which priority is most relevant and submit it under that priority only. However, there is no limitation on the number of different applications that an applicant may submit under this competition, even to the same priority. A firm may submit separate applications on different priorities, or different applications on the same priority, but each application should respond to only one priority. Duplicate applications will be returned without review.

F. Key Dates and Award Information

The Department of Education is required under P.L. 106-554 to participate in the Small Business Innovation Research (SBR) program. The Government's obligation under this award is contingent upon the availability of appropriated funds from which payments are made. The Department is not bound by the estimates given below.

The Department of Education expects to make approximately 40 Phase I fixed-price grant awards ranging up to \$75,000 in fiscal year 2002. The Department expects to announce awards in September, 2002. The project start date should be before September 30, 2002. Successful applicants have up to 6 months to carry out the proposed Phase I effort.

For planning purposes only, ED anticipates that approximately one-third of the Phase I awardees will receive Phase II awards, depending on the results of the Phase I efforts, applicant evaluations and the availability of funds. Phase II is to further develop ideas explored during Phase I. Specific instructions for the preparation of Phase II applications will be sent to qualifying Phase I awardees near the completion of the Phase I work.

The participating Program Offices are under no obligation to fund any specific application or make any specific number of awards in a given research priority area.

Also, they may elect to fund several or none of the proposed projects within a given priority area.

The Department is not responsible for any monies expended by the applicant before an award.

II. AGENCY CONTACTS

Questions of a **general nature** about the ED SBR program should be directed to:

Lee Eiden

ED SBIR Program Coordinator
US Department of Education
Capitol Place - Room 508D
555 New Jersey Avenue, NW.
Washington, D.C. 20208-5644

Phone: (202) 219-2004
Fax: (202) 219-1407
Email: lee.eiden@ed.gov

The following table includes points of contact information for each of the ED awarding components:

AWARDING COMPONENT CONTACT INFORMATION		
AWARDING COMPONENT	PROGRAM OFFICE CONTACT	GRANTS MANAGEMENT CONTACT
Office of Special Education and Rehabilitative Services (OSERS) www.ed.gov/offices/OSERS/	Dr. Kristi E. Wilson Phone: (202) 260-0988 Fax: (202) 205-8515 Email: kristi.wilson@ed.gov	Ms. Donna Nangle Phone: (202) 205-5880 Fax: (202) 205-8515 Email: donna.nangle@ed.gov
Office of Educational Research and Improvement (OERI) www.ed.gov/offices/OERI/	Dr. Ram Singh Phone: (202) 219-2025 Fax: (202) 219-2135 Email: ram.singh@ed.gov	Ms. Cora Corry Phone: (202) 219-1567 Fax: (202) 219-2135 Email: cora.corry@ed.gov

Address questions pertaining to **human subjects research issues** to:

Helene Deramond

Coordinator, Protection of Human Subjects
Grants Policy Oversight Staff
U.S. Department of Education
Room 3652 – ROB3
7th and D Streets, SW
Washington, DC 20202-4248

Phone: (202) 260-5353
Fax: (202) 219-1407
Email: helene.deramond@ed.gov

III. DEFINITIONS

The Small Business Administration (SBA) developed the following definitions relevant to the Small Business Innovation Research (SBIR) Program:

Applicant

The organizational entity that, at the time of award, will qualify as a Small Business Concern (SBC) and that submits a contract proposal or a grant application for a funding agreement under the SBIR Program.

Affiliate

This term has the same meaning as set forth in 13 CFR Part 121 - Small Business Size Regulations, §121.103.

Awardee

The SBC receiving an SBIR funding agreement.

Commercialization

The process of developing marketable products and/or services and producing and delivering products or services for sale (whether by the originating party or by others) to Government and/or commercial markets.

Essentially Equivalent Work

The "scientific overlap," which occurs when (1) substantially the same research is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency; (2) substantially the same research is submitted to two or more different Federal agencies for review and funding consideration; or (3) a specific research objective and the research design for accomplishing an objective are the same or closely related in two or more proposals or awards, regardless of the funding source.

Extramural Budget

The sum of the total obligations for R/R&D minus amounts obligated for R/R&D activities by employees of a Federal agency in or through Government-owned, Government-operated facilities.

Feasibility

The practical extent to which a project is capable of being successfully performed.

Innovation

Something new or improved, having marketable potential, including (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies.

Intellectual Property

The separate and distinct types of intangible property that are referred to collectively as "intellectual property," including but not limited to: patents, trademarks, copyrights, trade secrets, SBIR technical data (as defined in this section), ideas, designs, know-how, business, technical and research methods, and other types of intangible business assets, and including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR Program.

Joint Venture

An association of persons or concerns with interests in any degree or proportion by way of contract, express or implied, consorting to engage in and carry out a single specific business venture for joint profit, for which purpose they combine their efforts, property, money, skill, or knowledge, but not on a continuing or permanent basis for conducting business generally. A joint venture is viewed as a business entity in determining power to control its management, has its own Employer Identification Number as assigned by the Internal Revenue Service, and is eligible under the SBIR Program provided that the entity created qualifies as a "SBC" as defined in this section.

Principal Investigator/Project Manager

The one individual designated by the applicant to provide the scientific and technical direction to the project that will be supported by the funding agreement.

Prototype

A model of something to be further developed, which includes designs, protocols, questionnaires, software, and devices.

Research or Research and Development (R/R&D)

Any activity that is:

1. A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
2. A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
3. A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

SBIR Technical Data

Means all data generated in the performance of any SBIR funding agreement.

SBIR Technical Data Rights

The rights an SBC obtains in data generated in the performance of any SBIR funding agreement that an awardee delivers to the Government during or upon completion of a Federally-funded project, and to which the Government receives a license.

Small Business Concern

A concern that, on the date of award for both Phase I and Phase II funding agreements:

1. is organized for profit, with a place of business located in the United States, which operates primarily within the United States or which makes a significant contribution to the United States economy through payment of taxes or use of American products, materials or labor;
2. is in the legal form of an individual proprietorship, partnership, limited liability company, corporation, joint venture, association, trust or cooperative, except that where the form is a joint venture (as defined in this section) there can be no more than 49 percent participation by foreign business entities in the joint venture;
3. is at least 51 percent owned and controlled by one or more individuals who are citizens of, or permanent resident aliens in, the United States; and,
4. has, including its affiliates, not more than 500 employees.

Socially and Economically Disadvantaged Individual

A member of any of the following groups:

1. Black Americans;
2. Hispanic Americans;
3. Native Americans;
4. Asian Pacific Americans
5. Subcontinent Asian Americans;
6. Other groups designated from time to time by SBA to be socially disadvantaged; or any other individual found to be socially and economically disadvantaged by SBA pursuant to Section 8(a) of the Small Business Act, 15 U.S. C. 637(a).

Subcontract

Any agreement, other than one involving an employer/employee relationship, entered into by an awardee of a funding agreement calling for supplies or services required solely for the performance of the original funding agreement.

United States

Means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

Woman-Owned Small Business Concern

A small business concern that is at least 51 percent owned and operated by a woman or women who also control an operate it. "Control" in this context means exercising the power to make policy decisions. "Operate" in this context means being actively involved in the day-to-day management.

IV. GRANT APPLICATION PREPARATION INSTRUCTIONS AND REQUIREMENTS

A. Application Requirements

An application to ED under the SBIR program should present a sound approach to the investigation of an important education, technological, engineering or scientific question that it is worthy of support under the stated criteria of this program announcement.

An application should be self-contained and written with the care and thoroughness accorded to papers for publication. The applicant should review the program announcement carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research is the primary concern for all research supported by ED. *[NOTE: The number of points weighted to this area is contained in the "Evaluation Criteria"- Section V.]*

The application's R/R&D must be responsive to the ED program objectives, but it should also serve as the base for technological innovation, new commercial products, processes or services that may benefit the public. Applications must be confined principally to advanced concepts in educational and assistive technologies, scientific or engineering research or research and development.

A firm must not propose market research, patent applications, or litigation. The research may be carried out through construction and evaluation of a laboratory prototype, where necessary.

Applications primarily for the development of proven concepts toward commercialization or for market research should not be submitted because such efforts are considered the responsibility of the private sector.

B. Protection of Information in Applications

It is ED policy to use information included in applications for evaluation purposes only, and to protect such information from unauthorized use or disclosure. While this policy does not require that the application bear a notice, protection can be assured only to the extent that the "Legend" specified in Section VI.C. is applied to those data that constitute trade secrets or to other commercial or financial information that is confidential or privileged. Other information may be afforded protection to the extent permitted by law, but ED assumes no liability for use and disclosure of information to which the "Legend" has not been appropriately applied.

C. Limitations on Length of Application

This program announcement is designed to reduce the investment of time and money to small firms in preparing a formal application. Those who wish to respond should submit a SBR Phase I application narrative of **no more than 25 pages**, *excluding* any documentation of prior multiple Phase I awards, if applicable [see section IV.D.5], and attachments responding to the "Assurances, Certifications, and Disclosures" component of Section X of this Program Announcement.

The application must be clear, readily legible, and conform to the following standards:

- A “page” is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Single space all text in the application narrative, including titles, headings, footnotes, quotations, references, and captions, as well as all text in charts, tables, figures, and graphs.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch). Standard black type should be used to permit photocopying.
- Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs, or materials that cannot be photocopied, in the body of the application.

In the interest of equity to all applicants, **all information must be in the 25 pages**. No appendices, other than the exclusion cited above, may be submitted and, if submitted, they will not be considered in the review of the application for scientific and technical merit.

The application should be direct, concise, and informative. Promotional and other discussion not related to the project is discouraged. The application must be primarily directed at research or R&D on the specific priority chosen. It is not necessary to provide a **lengthy** description of the commercial applications in the Phase I application except to mention them briefly under section IV.D.3 (a)(iii).

The Department will reject your application if--

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

D. Phase I Application Instructions

To avoid any misunderstanding, applicants should be aware that applications not satisfying all the required instructions will be returned to the proposing organization without review. Those applications may not be resubmitted with or without revision under this program announcement. All copies of the applications not accepted for evaluation will be returned.

1. **Application Cover Sheet.** Use the Title Page form (ED Standard Form 424). See “Forms” (Section X). It should be the topmost page of the application; that is, no additional cover page should be used. (Note. - For Item 10, this program is not subject to the requirements of Executive Order 12372, Intergovernmental Review of Federal Programs.)
2. **Abstract or Summary.** The second page of the application, numbered “2” at the center of the bottom that includes the following information:
 - a) The words “**Department of Education,**” relevant **CFDA number**, and **Priority Number**.
 - b) The **name and address** of the firm
 - c) The name and title of the **principal investigator or project director**.
 - d) A **technical abstract** of no more than 200 words.
 - e) A summary of the **anticipated results** and **implications of the approach** (for both Phases I and II) and the **potential commercial applications/anticipated benefits** of the research. **Nothing in the abstract should be proprietary or confidential.**

- f) A **disclosure permission statement** as follows: "Will you permit the Government to disclose the title and technical abstract page of your proposed project, plus the name, address, and telephone number of the corporate official of your firm, if your application does not result in an award, to concerns that may be interested in contacting you for further information? Yes _____ No _____."
 - f) A **small business certification** as follows: "The above concern certifies that it is a SBC and meets the definition as stated in the program announcement or that it will meet that definition at the time of award."
 - g) A **socially and economically disadvantaged small business certification** as follows:
 "The above concern certifies that it (does/does not) qualify as a socially and economically disadvantaged SBC and meets the definition as stated in this program announcement."
[This is for statistical purposes only.]
 - h) A **woman-owned small business certification** as follows: "The above concern certifies that it (does/does not) qualify as a woman-owned small business as defined in the Definitions section of the program announcement." *[This is for statistical purposes only.]*
 - i) **Legend for proprietary information** as described in the "Considerations" section of this program announcement (*Section VI.C.*), if appropriate.
3. **Technical Content.** Beginning on page 3 of the application, include the following:
- a) **Significance:**
 - i) Identification and Significance of the Problem or Opportunity. Make a clear statement of the specific research problem or opportunity addressed and why it is important.
 - ii) Related Research or R&D. Describe significant research or R&D that is directly related to the application, including any conducted by the principal investigator or by the applicant's firm. Describe how it relates to the proposed effort, and describe any planned coordination with outside sources. The purpose of this section is to persuade reviewers of the applicant's awareness of key recent developments in the specific priority area.
 - iii) Potential Commercial Applications/Anticipated Societal Benefits. Briefly describe whether and by what means the proposed research also appears to have potential commercial application(s) and/or societal benefit(s). Also describe briefly whether and by what means the proposed project appears to have potential use by the Federal Government (if, in fact, it does).
 - b) **Feasibility:**
 - i) Phase I Technical Objectives. State the specific objectives of the Phase I research or R&D effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.
 - ii) Relationship with Future R&D. Discuss the significance of the Phase I effort in providing a foundation for the Phase II R&D effort. Also state the anticipated results of the proposed approach if Phases I and II of the project are successful.
 - c) **Scientific and Technical Quality:**
 - i) Phase I Work Plan. Include a detailed description of the Phase I research or R&D plan. The plan should indicate not only what will be done, but how the R&D will be carried out. Phase I research or R&D should address the objectives and the questions cited in 3 (b)(i) above. The methods planned to achieve each objective or task should be discussed in detail.

THIS SECTION SHOULD BE AT LEAST ONE-THIRD OF THE APPLICATION.

- ii) Human Subjects in Research. ***If applicable***, include a brief narrative of human subject involvement. Projects involving research on human subjects will require grantee compliance with the Department of Education's Protection of Human Subjects Regulations, 34 CFR Part 97.

Copies of the Department of Education's regulations for the Protection of Human Subjects are available from:

Grants Policy and Oversight Staff (GPOS)
Office of the Chief Financial Officer
Washington, DC 20202-4248
(202) 708-8263

This information is also available on the ED website at:

<http://www.ed.gov/offices/OCFO/humansub.html>

For a quick overview, see in particular "Information About the Protection of Human Subjects in Research Supported by the Department -- Overview."

Please give thorough consideration for the need of any human subject involvement in the Phase I feasibility work. All human subjects in research issues MUST be resolved prior to a grant award.

Unless all the proposed human subjects research meets one or more of the regulation's exemptions, awardees involving human subjects will be requested to file an "Assurance of Compliance with the Regulations" and have the project's research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

YOU DO NOT NEED AN ASSURANCE OR IRB APPROVAL AS A CONDITION OF APPLYING FOR THIS AWARD.

- iii. Protection of Pupil Rights Amendment (PPRA). This grant is subject to the Protection of Pupil Rights Amendment (PPRA), 20 U.S.C. 1232h, 34 CFR Part 98. PPRA is a law that governs the administration of certain Department-funded surveys. The law provides that a school district must obtain the prior written consent of a parent if the district "requires" a student to take a survey, i.e., the survey is not voluntary. In addition, the PPRA only applies to a survey if the survey asks certain types of questions (e.g., questions that reveal information about illegal behavior, psychological problems potentially embarrassing to the student, or sex behavior and attitudes). Grantees should be aware of the requirements of PPRA if they plan to use Departmental funds to develop surveys for elementary or secondary school students.

For additional information or technical assistance, you may call (202) 260-3887 (voice). Individuals who use TDD may call the Federal Information Relay Service at 1-800-877-8339. Or you may contact us at the following address:

Family Policy Compliance Office
U.S. Department of Education
400 Maryland Avenue, SW
Washington, D.C. 20202-4605

d) **Staff Qualifications:**

- i) Key Personnel and Bibliography of Directly Related Work. Identify key personnel involved in Phase I, including their education and directly related experience, or writings. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired. Such summaries may be necessary to meet the application size limitation. Also list all other commitments that senior personnel have during the proposed period of performance.
- ii) Consultants. Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail. *[NOTE: See section VI.D for limitations on subcontracting.]*

e) **Facilities and Equipment:**

The conduct of advanced research may require the use of sophisticated instrumentation or computer facilities. The applicant should provide a detailed description of the availability and location of the facilities and equipment necessary to carry out Phase I.

f) **Budget:**

Use Budget Summary form (ED Form 524), or a suitable facsimile, to present a complete budget summary for the proposed project dates. See "Forms" (Section X). Questions pertaining to this area can be discussed with the Grants Management Contacts listed in Section II.

Please provide a justification for this budget by including a detailed narrative description for each budget line item.

The SBA has stated that SBIR funding agencies are to provide for a **reasonable** fee or profit on SBIR funding agreements, including grants, **consistent with normal profit margins provided to profit-making firms for R/R&D work** (SBIR "Policy Directive" effective 1/26/93).

If you use ED Form 524, include any profit/fee in Line 10 (Indirect Costs). The fee is not a "cost" and may be used by the small business concern for any purpose, including additional effort under the SBIR award. Therefore, the applicant should enter the request for profit/fee as a separate item in the narrative justification.

4. **Related Application(s) or Award(s).**

If an applicant elects to submit identical applications or applications containing a significant amount of essentially equivalent work under other Federal program announcements, **a statement must be included** in this application indicating:

- a) The name and address of agencies to which application(s) was/were submitted or from which SBIR award(s) was/were received.
- b) The date(s) of application submission and date(s) of award.
- c) The title, number and date of SBIR program announcement under which application(s) was/were submitted or award(s) received.
- d) The applicable research priority in the program announcement for each SBIR application submitted or award received.
- e) The titles of research projects.
- f) The name and title of the principal investigator for each application submitted or award received.

WARNING

While it is permissible, with application notification, to submit identical or essentially equivalent applications for consideration under numerous Federal program announcements, it is unlawful to enter into funding agreements requiring essentially equivalent effort.

If there is any question concerning this it must be disclosed
to the soliciting agency or agencies before award.

5. **Documentation of Multiple Phase II Awards.** A small business concern that submits a Phase I application and has received more than 15 Phase I SBIR awards, as totaled from all Federal agencies with SBR programs, during the preceding 5 fiscal years, **must** submit the following information for each Phase II award:

- the name of the awarding agency,
- the date of the award,
- the funding agreement number and award amount,
- the priority/topic or subtitle,
- the amount of the follow-on funding commitment, the source and the date of the commitment, and the current commercialization status.

*[This required information **will not be** counted toward the application limitation of 25 pages.]*

V. METHOD OF SELECTION AND EVALUATION CRITERIA

A. Introduction

Phase I applications will be judged on a competitive basis.

1. All applications will be **screened** to confirm that the required instructions were completed. Those applications not satisfying all the required instructions will be returned to the proposing organization without review.
2. Persons who are experts in the priority areas will evaluate applications meeting those requirements. Reviewers will include people outside the Federal Government. Each application will be judged on its own merit, according to the review criteria described below.

The Department of Education will make awards based upon these evaluation criteria and the availability of funds. In the evaluation and handling of applications, the Department will make every effort to protect the confidentiality of the application and any evaluations.

B. Evaluation Criteria for Phase I

The Secretary selects the following selection criteria in 34 CFR 75.210 to evaluate applications for new grants under this competition. The criteria below will receive the following weights. The maximum score for all of these criteria is 100 points. The weight for each criterion is indicated in parentheses. The Department of Education will make awards based upon these evaluation criteria and the availability of funds.

- 1. Quality of the Project Design (45 points)**
 - The extent to which the proposed activities constitute a coherent, sustained program of research and development in the field, including, as appropriate, a substantial addition to an ongoing line of inquiry
 - The quality of the methodology to be employed in the proposed project.
 - 2. Significance (25 points)**
 - The likely utility of the products (such as information, materials, processes, or techniques) that will result from the proposed project, including the potential for their being used effectively in a variety of other settings.
 - 3. Quality of Project Personnel (20 points)**
 - The qualifications, including relevant training and experience, of the project director or principal investigator.
 - The qualifications, including relevant training and experience, of key project personnel.
 - The qualifications, including relevant training and experience, of project consultants or subcontractors.
 - 4. Adequacy of Resources (10 points)**
 - The adequacy of support, including facilities, equipment, supplies, and other resources, from the applicant organization or the lead applicant organization.
 - The extent to which the budget is adequate to support the proposed project.
-

C. Release of Grant Application Review Information

After final award decisions are made the Principal Investigator will be sent the technical evaluations. No one other than the Principal Investigator (and appropriate ED staff) may receive the technical evaluations.

Applicants normally receive their evaluations within six to eight weeks following the announcement of the awards. The identity of the reviewers will not be disclosed.

D. Evaluation Criteria for Phase II

ED will send detailed instructions regarding Phase II application submission to the eligible winners of its Phase I awards.

Phase II application evaluations may include on-site evaluations of the Phase I effort.

VI. CONSIDERATIONS

A. Reports

One original and one copy of a final Phase I “Performance Report” **must** be submitted to Education Program Contact upon completion of the Phase I work. The final report shall include a one-page project summary as the first page, using the format specified in section IV.D.2.a. through e. of this program announcement. The summary should identify the purpose of the research, and include a brief description of the research carried out, the research findings or results, and the potential applications of the research. **This project summary is to be submitted without restriction on publication and may be published by ED.**

All reports must carry an acknowledgment statement on the cover page such as:

“This material is based upon work supported by the U.S. Department of Education under funding agreement number _____. Any opinions, findings, conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views or policies of the Department of Education.”

B. Government Performance and Results Act

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

The purpose of the SBIR program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation. Grantees are required to report on the progress of their work throughout the award period and submit final reports to the U.S. Department of Education.

C. Innovations, Inventions, and Patents

1. **Proprietary Information**

Information contained in unsuccessful applications will remain the property of the applicant. The Government may, however, retain copies of all applications. Public release of information in any application submitted will be subject to existing statutory and regulatory requirements.

If proprietary information provided by an applicant in an application constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, it will be treated in confidence, to the extent permitted by law. This information **must** be clearly marked by the applicant with the term "**confidential proprietary information**" and the following **legend must** appear on the title page of the application:

"For any purpose other than to evaluate the application, these data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part, provided that if a funding agreement is awarded to this applicant as a result of or in connection with the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages _____ of this application."

Any other legend may be unacceptable to the Government and may constitute grounds for removing the application from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to/w within official channels.

2. Rights in Data Developed Under SBIR Funding Agreements

Rights to technical data developed under the terms of any funding agreement resulting from a grant application submitted in response to this program announcement shall remain with the grantee for a period of 4 years after acceptance of all items to be delivered under this funding agreement.

The Government agrees to use this data for Government purposes only, and it shall not be disclosed outside the Government (including disclosure for procurement purposes) during such period with permission of the awardee, except that, subject to the foregoing use and disclosure prohibitions, such data may be disclosed for use by support contractors. After the 4-year period, the Government has a royalty-free license to use, and to authorize others to use on its behalf, this data for Government purposes, but is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of this data by third parties. This Notice shall be affixed to any reproduction of this data, in whole or in part.

3. Copyrights

With prior written permission of the Education Program Contact, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with ED support. The Department of Education receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgment and disclaimer statement as in "Proprietary Information" section (*above*).

4. Patents

Small business firms normally may retain the principal worldwide patent rights to any invention developed with Government support. The Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and requires that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a 4 year period to allow the awardee a reasonable time to pursue a patent.

D. Subcontracting Limits

For **Phase I**, at least **two-thirds** of the research and/or analytic effort must be performed by the proposing firm. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding agreement price.

For **Phase II**, at **least one-half** of the research and/or analytic effort must be performed by the proposing firm; that is, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-half of the total funding agreement price.

E. Joint Ventures or Limited Partnerships

Joint ventures and limited partnerships are permitted provided that the entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631, and with the definition in Section III of this program announcement.

F. Cost-Sharing

Cost sharing is permitted for applications under this program announcement; however, cost sharing is not required, and it will not be an evaluation factor in considering any application.

G. Profit/Fee

Both Phase I and Phase II grants may include a reasonable fee or profit on SBIR funding agreements, consistent with normal profit margins provided to profit-making firms for R/R&D work.

H. American Made Equipment and Products

When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.

I. Standard Terms and Conditions

Upon acceptance of an award, the grantee must comply with the terms and conditions contained or referenced in the Notice of Award document. These terms and conditions, constituting legal requirements, are imposed on an awardee by statute, regulations, administrative policy, or the award document itself.

J. Additional Information

1. This program announcement is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.

2. In the interests of those with special needs, the applicant is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).
3. The SBIR program is not a substitute for existing unsolicited application mechanisms. The Government shall not accept unsolicited applications under the SBIR program in either Phase I or Phase II.
4. If an award is made pursuant to an application submitted under this program announcement, the grantee will be required to certify that he or she has not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.

VII. APPLICATION TRANSMITTAL INSTRUCTIONS

A. General

Please send **1 original and 6 copies** of your application.

The application **MUST** be mailed or hand-delivered by the closing date. All applications **MUST** include the CFDA and the SBIR Priority Number on the outside package with the delivery information.

For your convenience, facsimile mailing labels are included on the back cover of this program announcement.

Secure packaging is mandatory. ED will not be responsible for processing applications damaged in transit. Do not send separate "information" copies or several packages containing parts of a single application. All 7 copies of an application **must** be sent in the same package.

One copy must be signed as an original by the official empowered to commit the applicant. Other copies may be photocopied. All copies must be clearly legible. Do not use bindings or covers. Staple the pages firmly in the upper left hand corner of each application.

B. Applications Sent by Mail

All applications sent by mail must be addressed to:

U.S. Department of Education
Application Control Center
400 Maryland Avenue, S.W.
Washington, DC 20202-4725
ATTN: CFDA # 84. *****
SBIR Priority # ***

(***) Insert the CFDA Number of the
Program Office supporting the Priority
Number for your application.**

(*) Insert the Priority Number of the
one that you are submitting your
application.**

An application must show proof of mailing consisting of one of the following:

1. A legibly dated U.S. Postal Service Postmark
2. A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
3. A dated shipping label, invoice, or receipt from a commercial carrier.
4. Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

1. A private metered postmark; or,
2. A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office. An applicant is encouraged to use registered or at least first class mail.

Each late applicant will be notified that its application will not be considered.

C. Applications Delivered by Hand/Courier Service

An application that is hand delivered must be taken to:

U.S. Department of Education
Application Control Center
Room 3671
General Services Administration
National Capital Region
7th and D Streets, SW
Washington, DC 20202-4725
ATTN: CFDA # 84. *****
SBIR Priority # ***

(*****) Insert the CFDA Number of the
Program Office supporting the Priority
Number for your application.

(***) Insert the Priority Number of the
one that you are submitting your
application.

The Application Control Center will accept deliveries between 8:00 a.m. and 4:30 p.m. (Washington, DC) daily, except Saturdays, Sundays, and Federal holidays.

Individuals delivering applications must use the D Street Entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

VIII. INVITATIONAL PRIORITIES

We are particularly interested in applications that meet one of the following priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets one of these priorities a competitive or absolute preference over other applications.

For fiscal year 2002, the Department of Education has selected for its SBIR program announcement **10 priorities**. SBIR projects are encouraged that look to the future by exploring uses of technology to ensure equal access to education and promote educational excellence throughout the nation.

Under each priority there are included a number of examples to illustrate the kinds of activities that could be funded. Specific examples are listed only as examples of advanced applications or basic research of interest to ED and are not to be interpreted as exclusive. It is ED's intention to provide sufficient flexibility to obtain the greatest degree of creativity and innovation possible, consistent with overall SBIR and ED program objectives.

OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES (OSERS) PRIORITIES 1 – 7 -- CFDA NUMBER 84.133S

The following **seven priorities** relate to innovative research using new technologies (*including nanotechnologies and biotechnologies*) to address the needs of individuals with disabilities and their families.

Priority 1. Development of Technology to Support Access and Integration of Individuals with Disabilities in the Community, Workplace, or Educational Setting.

Examples include:

- Input/output devices and technologies that promote better access to information for individuals with disabilities such as devices that convert text to sound or sound to text for persons with sensory impairments and expand accommodations for individuals with physical disabilities.
- Simulation and virtual reality technologies to help newly disabled persons anticipate and address the challenges associated with their disability.
- Devices and technologies that promote remote access to information for individuals with disabilities, such as small, portable devices that can help individuals with hearing and/or speech disorders communicate remotely using speech-recognition or artificial voice output technology.
- Devices and technologies that promote remote access to information for individuals with disabilities.
- Computer cursor movement/commands utilizing non-traditional control mechanisms, such as neural output.

- Multimedia technologies to facilitate individualized multi-sensory learning experiences for individuals with disabilities.
- Networked instructional management systems (NIMS) to provide integrated computer-assisted instruction (CAI) and computer-managed instruction (CMI) for students with disabilities.
- Portable electronic learning devices to improve the performance of individuals with learning and other cognitive disabilities in language and memory skills.
- Development of strong but lightweight sports equipment for persons with special needs.

Priority 2. Research and Development of Technology to Improve the Sensory or Motor Health of Individuals with Disabilities.

Examples include:

- Biomedical engineering innovations to improve function for people with disabilities.
- Technologies to increase the participation of women and parents with physical disabilities in child care activities.
- Technologies and devices that assist individuals with physical disabilities in their activities of daily living and mobility.
- Development of usage of bio-materials to improve fire-resistant/snug-free garments for individuals with physical disabilities.
- Technologies and devices to measure drug toxicity among abusers or those with multiple medical problems.
- Devices and technologies that assist disabled children and adults to participate in more stimulating leisure and recreational activities, especially those activities involving non-disabled persons.
- Development of virtual training/learning environments, particularly those involving two-way interaction that may be appropriate for home care, or tele-rehabilitation.
- Improved technology for control of upper extremity prostheses.

Priority 3. Research and Development of Assistive Technology to Improve the Function of Individuals with Disabilities of All Ages.

Examples include:

- Improved application of current technology, such as eye-gaze equipment with simple operation protocols that make the equipment more user friendly and encourage broader use in identifying vision at-risk factors in hearing impaired children and youth.
- Real-time speech-to-text technologies as practical communication and English-enhancing systems for use in regular education and in vocational training programs by students who are hard of hearing.

- Advancement of captioning technology and software to facilitate more universal low-cost, low-technology captioning of media to facilitate access and inclusion of children and adults with disabilities.

Priority 4. Research and Development of Technology to Improve School to Work Transition and Employment Outcomes for Individuals with Disabilities.

Examples include:

- Computer-based multimedia techniques, including simulation, CD-ROM, and virtual reality, for job training and school-to-work transition.
- Technologies and techniques to assist teachers and related service providers in identifying appropriate assistive and home automation devices for individuals transitioning from school to adult life.
- Technologies and media that improve communication between individuals with disabilities and their non-disabled peers and teachers.
- Assistive devices or other technologies that foster communication and language development, mobility, or learning and promote access to mainstream environments for individuals with disabilities.

Priority 5. Research in Positive Behavioral Supports or Behavioral Health Care to Support Independent Living/Community Integration and Participation in Educational and Vocational Activities.

Examples include:

- New applications of telecommunication systems for distance learning, establishing social networks, and providing new information to parents and professionals by enhancing interactive dialogue between individuals with disabilities and their education/ social support systems and peers.
- Technologies to increase the success of students with emotional and behavioral disabilities in educational settings.
- Management information systems for tracking persons with disabilities across multiple service providers to obtain useful, timely, and accurate career-planning/ preparation information.
- Modification of off-the-shelf technology to better accommodate the needs of individuals with communication disabilities, with special emphasis on speech recognition and voice-to-print technologies.
- Virtual training/learning environments, particularly those involving two-way interaction, that may be appropriate for independent living.
- Technologies to support the implementation of functional assessments and positive behavioral interventions.

Priority 6. Research and Development of Technology in Support of Early Intervention for Infants, Toddlers, and Small Children.

Examples include:

- Technologies to meet the specialized needs of individuals with cognitive impairments or emotional disorders and provide feedback/stimulation to enhance the development of infants, toddlers, and young children with disabilities.
- Strategies that use technology to help children with disabilities participate in after school activities such as camp craft, community awareness, and mobility awareness, and others, with an emphasis on inclusion.
- Technologies to improve the assessment of infants and toddlers with disabilities in cognitive, language, perceptual-motor, vocational, or social development domains.

Priority 7. Research and Development of Outcome Measurements Related to Use of Disability and Rehabilitation Technologies in Medical, Community, Home, Transportation, Educational, or Employment Settings.

Examples include:

- Development of databases to aid professionals in understanding the unique needs of individuals with specific types of disabilities.
 - Development of state-of-the-art measurement tools that will assess the complex interactions between impairment and environment.
 - Development of methods for ensuring the dissemination of disability statistical data to diverse audiences.
 - Development of outcome measures for use in outpatient and community-based settings.
-

**OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT (OERI)
PRIORITIES 8 – 10 -- CFDA NUMBER 84.305S**

OERI invites applications that address the following **three priorities** focusing on student achievement of at-risk students in pre-kindergarten to postsecondary education and adult learning.

Priority 8. Development and Adaptation of Innovative Technologies to Improve Instruction, Learning, and Achievement in Reading, Mathematics, and Sciences.

Examples include:

- Design and develop innovative tools or systems to improve reading comprehension, in particular the reading skills of English learners, using cutting-edge technologies and reading theories.

- Design and develop innovative tools or systems to improve the teaching and learning of reading, mathematics, and science by taking learning environments and user's learning styles into consideration.
- Design and develop innovative tools for researchers and teachers to observe and analyze classroom instructional practices and use the results to improve teaching.

Priority 9. Development and Adaptation of Innovative Technologies to Support High Standards and Accountability through Testing, Assessment, and Evaluation.

Examples include:

- Design and develop an innovative tool or system to help teachers and parents interpret standardized test results and use the results to improve student learning and achievement.
- Design and develop innovative tools or systems to help teachers and administrators align curriculum to state standards, develop tests, and monitor student test results.
- Design and develop innovative tools or systems to help administrators evaluate and report school performance by taking consideration of issues concerning special populations and equity. (Note: Examples of outcome measures include standardized test scores, dropout rate, graduation rate, college attendance, and employment. Special populations include special-education students, students with Limited-English-Proficiency, and economically disadvantaged students.)

Priority 10. Development and Adaptation of Innovative Technologies to Improve the Involvement of Parents and Communities in Education and to Use Resources Effectively for Student Learning and Education Reform.

Examples include:

- Design and develop innovative tools or systems to help parents and students choose schools and colleges and to do academic and financial planning for these choices.
- Design and develop innovative tools or networks to facilitate communications between teachers and parents, and between schools and communities, to support child and adult learning.
- Design and develop innovative tools or systems to plan, manage, and use school technology resources and facilities effectively for teaching and learning.

IX. SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

Certain sources can provide information that can be useful in preparing SBIR applications. The Internet sites listed below can provide you with helpful material and links to other sites.

SBIR Program-Related

ED SBIR Program	www.ed.gov/offices/OERI/SBIR
Small Business Administration (SBA) Office of Technology (SBIR)	www.sba.gov/sbir/

Office of Special Education and Rehabilitative Services (OSERS)

OSERS Home Page	www.ed.gov/offices/OSERS/
National Institute on Disability and Rehabilitation Research	www.ed.gov/offices/OSERS/NIDRR/
National Center for the Dissemination of Disability Research	www.ncddr.org/

Office of Educational Research and Improvement (OERI)

OERI Home Page	www.ed.gov/offices/OERI/
National Education Research and Development Centers	www.ed.gov/offices/OERI/ResCtr.html
Regional Education Laboratory Network	www.relnetwork.org/

General

U.S. Department of Education	www.ed.gov
Education Department General Administrative Regulations (EDGAR)	www.ed.gov/offices/OCFO/grants/edgar.html
U.S. Department of Education Grant Application and Other Forms	www.ed.gov/offices/OCFO/grants/appforms.html
U.S. Department of Education Technology Initiatives	www.ed.gov/Technology/
Educational Resources Information Center	www.eric.ed.gov/resources/resources.html
Small Business Administration (SBA) Technical Resources Network (TECH-Net)	tech-net.sba.gov/

X. FORMS, ASSURANCES, CERTIFICATIONS, AND DISCLOSURES

You will need to download the following Federal forms and relevant instructions. These are available in several different formats at

<http://www.ed.gov/offices/OCFO/grants/appforms.html>

FORMS

Title Page--

- ED 424 Application for Federal Education Assistance

Budget Form--

- ED 524 Budget Information: Non-Construction Program

ASSURANCES, CERTIFICATIONS, and DISCLOSURE FORMS

- SF 424B Assurances – Non-Construction Programs
- ED 80-0013 Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters, and Drug-Free Workplace Requirements
- ED 80-0014 Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction
- SF LLL Disclosure of Lobbying Activities

GRANT APPLICATION PACKAGE CHECKLIST

CLOSING DATE: July 10, 2002

CHECK:

- ☐ Have you prepared the application according to the **“type size” and “format” standards** that must be observed throughout the application?
- ☐ Does the application contain **no more than 25 pages, excluding** any documentation of prior multiple Phase II awards [see section IV.D.5], if applicable; and attachments responding to the “Assurances, Certifications, and Disclosures” section (X) of this Program Announcement?
- ☐ Has the **Application Cover Sheet (ED Standard Form 424)** been completed according to the instructions?
- ☐ Has the Application Cover Sheet has been **signed and dated by an authorized official** and the signed original included with your application?
- ☐ Have you included all the required components of the **“Abstract or Summary” page**? Including the:
 - Technical abstract,
 - Anticipated results statement,
 - Disclosure permission statement,
 - SBA certifications,
 - Legend for Proprietary Information
- ☐ Addressed each of the required components of the **“Technical Content” section**, including the **Budget Summary Form** (ED Form 524), or a suitable facsimile?
- ☐ Provided notification of **“Related Application(s) or Award(s)”** and **“Documentation of Multiple Phase II Awards,”** if applicable?
- ☐ Prepared for mailing/delivery **1 original and 6 copies** of your application to the addresses listed in Section VII of the Program Announcement?

**The application MUST be mailed or hand-delivered by July 10, 2002.
All applications MUST include the CFDA and the SBIR Priority Number
on the outside package with the delivery information.**

Mailing address for application sent by mail

Use this label or a facsimile

**U.S. Department of Education
Application Control Center
400 Maryland Avenue, S.W
Washington, DC 20202-4725**

ATTN: CFDA # 84.

SBIR Priority #

Mailing address for application delivered by

Hand/Courier Service

Use this label or a facsimile

**U.S. Department of Education
Application Control Center
Room 3671
General Services Administration
National Capital Region
7th and D Streets, SW
Washington, DC 20202-4725**

ATTN: CFDA # 84.

SBIR Priority #

Insert the CFDA Number associated with the Priority Number for your application.

Insert the Priority Number of the one that you are submitting your application.